

CBAS IPC Revision Work Tool
 Person-Centered Planning Federal Requirements
 DRAFT

Federal Directive/ Requirement	Action(s) Needed to Address Federal Directive/Requirement		Comments
CBAS Waiver & 42 CFR 401(c)(1)-(3)	IPC Revision? (If yes, specify what and where)	Other Documents or Activities: <ul style="list-style-type: none"> ▪ Participation Agreement (PA); ▪ Grievance Procedure (GP); ▪ Policy & Procedure (PP); ▪ Training ▪ Assessment 	
CBAS Waiver			
1. How will the plan identify each enrollee's preferences, choices and abilities and the strategies to address those preferences, choices and abilities;	<input type="checkbox"/> Yes <input type="checkbox"/> No IPC Box/Section:		
2. How will the plan allow the enrollee to participate fully in any treatment or service planning discussion or meeting, including the opportunity to involve family, friends and professionals of the enrollee's choosing.	<input type="checkbox"/> Yes <input type="checkbox"/> No IPC Box/Section:		

CBAS IPC Revision Work Tool
 Person-Centered Planning Federal Requirements
 DRAFT

Federal Directive/ Requirement	Action(s) Needed to Address Federal Directive/Requirement		Comments
CBAS Waiver & 42 CFR 401(c)(1)-(3)	IPC Revision? (If yes, specify what and where)	Other Documents or Activities: <ul style="list-style-type: none"> ▪ Participation Agreement (PA); ▪ Grievance Procedure (GP); ▪ Policy & Procedure (PP); ▪ Training ▪ Assessment 	
3. How will the plan ensure that the enrollee has informed choices about treatment and service decisions; and	<input type="checkbox"/> Yes <input type="checkbox"/> No IPC Box/Section:		
4. How the planning process will be collaborative, recurring and involve an ongoing commitment to the enrollee.	<input type="checkbox"/> Yes <input type="checkbox"/> No IPC Box/Section:		

CBAS IPC Revision Work Tool
 Person-Centered Planning Federal Requirements
 DRAFT

Federal Directive/ Requirement	Action(s) Needed to Address Federal Directive/Requirement		Comments
CBAS Waiver & 42 CFR 401(c)(1)-(3)	IPC Revision? (If yes, specify what and where)	Other Documents or Activities: <ul style="list-style-type: none"> ▪ Participation Agreement (PA); ▪ Grievance Procedure (GP); ▪ Policy & Procedure (PP); ▪ Training ▪ Assessment 	
Federal Directive/ Requirement	Action(s) Needed to Address Federal Directive/Requirement		Comments
CBAS Waiver & 42 CFR 401(c)(1)-(3)	IPC Revision? (If yes, specify what and where)	Other Documents or Activities: <ul style="list-style-type: none"> ▪ Participation Agreement (PA); ▪ Grievance Procedure (GP); ▪ Policy & Procedure (PP); ▪ Training 	
42 CFR 441.301(c)(1)-(3)			
(1) Person-Centered Planning Process	<i>The individual will lead the person-centered planning process where possible. The individual's representative should have a participatory role, as needed and as defined by the individual, unless State law confers decision-making authority to the legal representative. All references to individuals include the role of the individual's representative. In addition to being led by the individual receiving services and supports, the person-centered planning process:</i>		

CBAS IPC Revision Work Tool
 Person-Centered Planning Federal Requirements
 DRAFT

Federal Directive/ Requirement	Action(s) Needed to Address Federal Directive/Requirement		Comments
CBAS Waiver & 42 CFR 401(c)(1)-(3)	IPC Revision? (If yes, specify what and where)	Other Documents or Activities: <ul style="list-style-type: none"> ▪ Participation Agreement (PA); ▪ Grievance Procedure (GP); ▪ Policy & Procedure (PP); ▪ Training ▪ Assessment 	
1. Includes people chosen by the individual	<input type="checkbox"/> Yes <input type="checkbox"/> No IPC Box/Section:		
2. Provides necessary information and support to ensure that the individual directs the process to the maximum extent possible, and is enabled to make informed choices and decisions.	<input type="checkbox"/> Yes <input type="checkbox"/> No IPC Box/Section:		
3. Is timely and occurs at times and locations of convenience to the individual.	<input type="checkbox"/> Yes <input type="checkbox"/> No IPC Box/Section:		

CBAS IPC Revision Work Tool
 Person-Centered Planning Federal Requirements
 DRAFT

Federal Directive/ Requirement	Action(s) Needed to Address Federal Directive/Requirement	Comments
CBAS Waiver & 42 CFR 401(c)(1)-(3)	<div> <div>IPC Revision? (If yes, specify what and where)</div> <div>Other Documents or Activities: <ul style="list-style-type: none"> ▪ Participation Agreement (PA); ▪ Grievance Procedure (GP); ▪ Policy & Procedure (PP); ▪ Training ▪ Assessment </div> </div>	
4. Reflects cultural considerations of the individual and is conducted by providing information in plain language and in a manner that is accessible to individuals with disabilities and persons who are limited English proficient, consistent with §435.905(b) of this chapter.	<div> <input type="checkbox"/> Yes <input type="checkbox"/> No </div> <div>IPC Box/Section:</div>	
5. Includes strategies for solving conflict or disagreement within the process, including clear conflict-of-interest guidelines for all planning participants.	<div> <input type="checkbox"/> Yes <input type="checkbox"/> No </div> <div>IPC Box/Section:</div>	

CBAS IPC Revision Work Tool
 Person-Centered Planning Federal Requirements
 DRAFT

Federal Directive/ Requirement	Action(s) Needed to Address Federal Directive/Requirement		Comments
CBAS Waiver & 42 CFR 401(c)(1)-(3)	IPC Revision? (If yes, specify what and where)	Other Documents or Activities: <ul style="list-style-type: none"> ▪ Participation Agreement (PA); ▪ Grievance Procedure (GP); ▪ Policy & Procedure (PP); ▪ Training ▪ Assessment 	
6. Providers of HCBS for the individual, or those who have an interest in or are employed by a provider of HCBS for the individual must not provide case management or develop the person-centered service plan, except when the State demonstrates that the only willing and qualified entity to provide case management and/or develop person-centered service plans in a geographic area also provides HCBS. In these cases, the State must devise conflict of interest protections including	<input type="checkbox"/> Yes <input type="checkbox"/> No IPC Box/Section:		

CBAS IPC Revision Work Tool
 Person-Centered Planning Federal Requirements
 DRAFT

Federal Directive/ Requirement	Action(s) Needed to Address Federal Directive/Requirement		Comments
CBAS Waiver & 42 CFR 401(c)(1)-(3)	IPC Revision? (If yes, specify what and where)	Other Documents or Activities: <ul style="list-style-type: none"> ▪ Participation Agreement (PA); ▪ Grievance Procedure (GP); ▪ Policy & Procedure (PP); ▪ Training ▪ Assessment 	
separation of entity and provider functions within provider entities, which must be approved by CMS. Individuals must be provided with a clear and accessible alternative dispute resolution process.			
7. Offers informed choices to the individual regarding the services and supports they receive and from whom.	<input type="checkbox"/> Yes <input type="checkbox"/> No IPC Box/Section:		
8. Includes a method for the individual to request updates to the plan as needed.	<input type="checkbox"/> Yes <input type="checkbox"/> No IPC Box/Section:		

CBAS IPC Revision Work Tool
 Person-Centered Planning Federal Requirements
 DRAFT

Federal Directive/ Requirement	Action(s) Needed to Address Federal Directive/Requirement		Comments
CBAS Waiver & 42 CFR 401(c)(1)-(3)	IPC Revision? (If yes, specify what and where)	Other Documents or Activities: <ul style="list-style-type: none"> ▪ Participation Agreement (PA); ▪ Grievance Procedure (GP); ▪ Policy & Procedure (PP); ▪ Training ▪ Assessment 	
9. Records the alternative home and community-based settings that were considered by the individual.	<input type="checkbox"/> Yes <input type="checkbox"/> No IPC Box/Section:		

CBAS IPC Revision Work Tool
 Person-Centered Planning Federal Requirements
 DRAFT

Federal Directive/ Requirement	Action(s) Needed to Address Federal Directive/Requirement	Comments
CBAS Waiver & 42 CFR 401(c)(1)-(3)	<div> <div>IPC Revision? (If yes, specify what and where)</div> <div>Other Documents or Activities: <ul style="list-style-type: none"> ▪ Participation Agreement (PA); ▪ Grievance Procedure (GP); ▪ Policy & Procedure (PP); ▪ Training </div> </div>	
42 CFR 441.301(c)(1)-(3)		
(2) The Person-Centered Service Plan	<i>The person-centered service plan must reflect the services and supports that are important for the individual to meet the needs identified through an assessment of functional need, as well as what is important to the individual with regard to preferences for the delivery of such services and supports. Commensurate with the level of need of the individual, and the scope of services and supports available under the State's 1915(c) HCBS waiver, the written plan must:</i>	

CBAS IPC Revision Work Tool
 Person-Centered Planning Federal Requirements
 DRAFT

Federal Directive/ Requirement	Action(s) Needed to Address Federal Directive/Requirement		Comments
CBAS Waiver & 42 CFR 401(c)(1)-(3)	IPC Revision? (If yes, specify what and where)	Other Documents or Activities: <ul style="list-style-type: none"> ▪ Participation Agreement (PA); ▪ Grievance Procedure (GP); ▪ Policy & Procedure (PP); ▪ Training 	
<p>1. Reflect that the setting in which the individual resides is chosen by the individual. The State must ensure that the setting chosen by the individual is integrated in, and supports full access of individuals receiving Medicaid HCBS to the greater community, including opportunities to seek employment and work in competitive integrated settings, engage in community life, control personal resources, and receive services in the community to the same degree of access as individuals not receiving Medicaid HCBS.</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>IPC Box/Section:</p>		

CBAS IPC Revision Work Tool
 Person-Centered Planning Federal Requirements
 DRAFT

Federal Directive/ Requirement	Action(s) Needed to Address Federal Directive/Requirement		Comments
CBAS Waiver & 42 CFR 401(c)(1)-(3)	IPC Revision? (If yes, specify what and where)	Other Documents or Activities: <ul style="list-style-type: none"> ▪ Participation Agreement (PA); ▪ Grievance Procedure (GP); ▪ Policy & Procedure (PP); ▪ Training 	
2. Reflect the individual's strengths and preferences.	<input type="checkbox"/> Yes <input type="checkbox"/> No IPC Box/Section:		
3. Reflect clinical and support needs as identified through an assessment of functional need.	<input type="checkbox"/> Yes <input type="checkbox"/> No IPC Box/Section:		
4. Include individually identified goals and desired outcomes.	<input type="checkbox"/> Yes <input type="checkbox"/> No IPC Box/Section:		
5. Reflect the services and supports (paid and unpaid) that will assist the individual to achieve identified goals, and the providers of those services and supports, including natural supports. Natural supports are	<input type="checkbox"/> Yes <input type="checkbox"/> No IPC Box/Section:		

CBAS IPC Revision Work Tool
 Person-Centered Planning Federal Requirements
 DRAFT

Federal Directive/ Requirement	Action(s) Needed to Address Federal Directive/Requirement	Comments
CBAS Waiver & 42 CFR 401(c)(1)-(3)	<div> <div>IPC Revision? (If yes, specify what and where)</div> <div>Other Documents or Activities: <ul style="list-style-type: none"> ▪ Participation Agreement (PA); ▪ Grievance Procedure (GP); ▪ Policy & Procedure (PP); ▪ Training </div> </div>	
unpaid supports that are provided voluntarily to the individual in lieu of 1915(c) HCBS waiver services and supports.		
6. Reflect risk factors and measures in place to minimize them, including individualized back-up plans and strategies when needed.	<div> <input type="checkbox"/> Yes <input type="checkbox"/> No </div> <div>IPC Box/Section:</div>	
7. Be understandable to the individual receiving services and supports, and the individuals important in supporting him or her. At a minimum, for the written plan to be understandable,	<div> <input type="checkbox"/> Yes <input type="checkbox"/> No </div> <div>IPC Box/Section:</div>	

CBAS IPC Revision Work Tool
 Person-Centered Planning Federal Requirements
 DRAFT

Federal Directive/ Requirement	Action(s) Needed to Address Federal Directive/Requirement		Comments
CBAS Waiver & 42 CFR 401(c)(1)-(3)	IPC Revision? (If yes, specify what and where)	Other Documents or Activities: <ul style="list-style-type: none"> ▪ Participation Agreement (PA); ▪ Grievance Procedure (GP); ▪ Policy & Procedure (PP); ▪ Training 	
it must be written in plain language and in a manner that is accessible to individuals with disabilities and persons who are limited English proficient, consistent with §435.905(b) of this chapter.			
8. Identify the individual and/or entity responsible for monitoring the plan.	<input type="checkbox"/> Yes <input type="checkbox"/> No IPC Box/Section:		
9. Be finalized and agreed to, with the informed consent of the individual in writing, and signed by all individuals and providers responsible for its implementation.	<input type="checkbox"/> Yes <input type="checkbox"/> No IPC Box/Section:		

CBAS IPC Revision Work Tool
 Person-Centered Planning Federal Requirements
 DRAFT

Federal Directive/ Requirement	Action(s) Needed to Address Federal Directive/Requirement		Comments
CBAS Waiver & 42 CFR 401(c)(1)-(3)	IPC Revision? (If yes, specify what and where)	Other Documents or Activities: <ul style="list-style-type: none"> ▪ Participation Agreement (PA); ▪ Grievance Procedure (GP); ▪ Policy & Procedure (PP); ▪ Training 	
10. Be distributed to the individual and other people involved in the plan.	<input type="checkbox"/> Yes <input type="checkbox"/> No IPC Box/Section:		
11. Include those services, the purpose or control of which the individual elects to self-direct.	<input type="checkbox"/> Yes <input type="checkbox"/> No IPC Box/Section:		
12. Prevent the provision of unnecessary or inappropriate services and supports.	<input type="checkbox"/> Yes <input type="checkbox"/> No IPC Box/Section:		
13. Document that any modification of the additional conditions, under paragraph (c)(4)(vi)(A)	<input type="checkbox"/> Yes <input type="checkbox"/> No IPC Box/Section:		

CBAS IPC Revision Work Tool
 Person-Centered Planning Federal Requirements
 DRAFT

Federal Directive/ Requirement	Action(s) Needed to Address Federal Directive/Requirement		Comments
CBAS Waiver & 42 CFR 401(c)(1)-(3)	IPC Revision? (If yes, specify what and where)	Other Documents or Activities: <ul style="list-style-type: none"> ▪ Participation Agreement (PA); ▪ Grievance Procedure (GP); ▪ Policy & Procedure (PP); ▪ Training 	
through (D) of this section, must be supported by a specific assessed need and justified in the person- centered service plan.			
Required documentation in Person-Centered Service Plan			
A. Identify a specific and individualized assessed need.	<input type="checkbox"/> Yes <input type="checkbox"/> No IPC Box/Section:		
B. Document the positive interventions and supports used prior to any modifications to the person- centered service plan.	<input type="checkbox"/> Yes <input type="checkbox"/> No IPC Box/Section:		

CBAS IPC Revision Work Tool
 Person-Centered Planning Federal Requirements
 DRAFT

Federal Directive/ Requirement	Action(s) Needed to Address Federal Directive/Requirement		Comments
CBAS Waiver & 42 CFR 401(c)(1)-(3)	IPC Revision? (If yes, specify what and where)	Other Documents or Activities: <ul style="list-style-type: none"> ▪ Participation Agreement (PA); ▪ Grievance Procedure (GP); ▪ Policy & Procedure (PP); ▪ Training 	
C. Document less intrusive methods of meeting the need that have been tried but did not work.	<input type="checkbox"/> Yes <input type="checkbox"/> No IPC Box/Section:		
D. Include a clear description of the condition that is directly proportionate to the specific assessed need.	<input type="checkbox"/> Yes <input type="checkbox"/> No IPC Box/Section:		
E. Include a regular collection and review of data to measure the ongoing effectiveness of the modification.	<input type="checkbox"/> Yes <input type="checkbox"/> No IPC Box/Section:		
F. Include established time limits for periodic reviews to	<input type="checkbox"/> Yes <input type="checkbox"/> No		

CBAS IPC Revision Work Tool
 Person-Centered Planning Federal Requirements
 DRAFT

Federal Directive/ Requirement	Action(s) Needed to Address Federal Directive/Requirement		Comments
CBAS Waiver & 42 CFR 401(c)(1)-(3)	IPC Revision? (If yes, specify what and where)	Other Documents or Activities: <ul style="list-style-type: none"> ▪ Participation Agreement (PA); ▪ Grievance Procedure (GP); ▪ Policy & Procedure (PP); ▪ Training 	
determine if the modification is still necessary or can be terminated.	IPC Box/Section:		
G. Include informed consent of the individual.	<input type="checkbox"/> Yes <input type="checkbox"/> No IPC Box/Section:		
H. Include an assurance that interventions and supports will cause no harm to the Individual.	<input type="checkbox"/> Yes <input type="checkbox"/> No IPC Box/Section:		

CBAS IPC Revision Work Tool
 Person-Centered Planning Federal Requirements
 DRAFT

Federal Directive/ Requirement	Action(s) Needed to Address Federal Directive/Requirement		Comments
CBAS Waiver & 42 CFR 401(c)(1)-(3)	IPC Revision? (If yes, specify what and where)	Other Documents or Activities: <ul style="list-style-type: none"> ▪ Participation Agreement (PA); ▪ Grievance Procedure (GP); ▪ Policy & Procedure (PP); ▪ Training 	
42 CFR 441.301(c)(1)-(3)			
(3) Review of the Person-Centered Serviced Plan	<i>The person-centered service plan must be reviewed, and revised upon reassessment of functional need as required by §441.365(e), at least every 12 months, when the individual's circumstances or needs change significantly, or at the request of the individual.</i>		
The person-centered service plan must be reviewed, and revised upon reassessment of functional need as required by §441.365(e), at least every 12 months, when the individual's circumstances or needs change significantly, or at the request of the individual.			